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Expertise activities — General requirements for expertise services

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Expertise activities - General requirements for expertise services

Services d'expertise - Exigences générales relatives aux services d'expertise

Sachverständigentätigkeiten - Allgemeine Anforderungen an Sachverständigenleistungen

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Contents	Page
European foreword	3
Introduction	4
1 Scope	5
2 Terms and definitions	5
3 Code of Ethics	6
3.1 General	6
3.2 The Code	6
4 Knowledge / Qualification	7
4.1 General	7
4.2 Competence and qualification	7
4.3 Training and development	7
5 Expertise process	7
5.1 General	7
5.2 Initial assessment of the customer request	7
5.3 Risk identification	8
5.4 Agreement	8
5.5 Expertise service	8
5.5.1 General	8
5.5.2 Expert Service procedures	8
5.5.3 Conducting the expertise Service	9
5.5.4 Deliverable	9
5.6 Documentation	9
Bibliography	10

European foreword

This document (EN 16775:2015) has been prepared by Technical Committee CEN/TC 405 “Project Committee - Expertise services”, the secretariat of which is held by AFNOR.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by June 2016, and conflicting national standards shall be withdrawn at the latest by June 2016.

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Introduction

Expertise Services cover a wide range of services. Expertise Service Providers (ESP) are e.g. appointed for giving opinions, interpretations, recommendations addressing former and future events and/or circumstances. Services can also include determination if requirements of standards or performance are met, conflict resolution and assessment and valuation of damages to both goods and services. Expert Service Providers advise, analyse and evaluate to allow decisions to be made properly.

The quality of an expertise service depends on professional competence, impartiality, objectivity, independence and integrity of the experts involved. This standard is aimed at pointing out the minimum requirements of those criteria having influence on every expertise service. It could be used by all sizes and disciplines of ESP and aims to improve transparency and understanding between clients and ESP.

Successful implementation of the standard should also help to reduce barriers to cross-border expertise services.

This standard recognizes that there are different systems of law and many jurisdictions in Europe, any of which may impose different standards or requirements.

1 Scope

This European Standard specifies the minimum requirements for expertise services carried out by individual persons and/or group of such expert individuals for a customer.

The objective is to standardize expertise services thus enabling the delivery within a specified context of the most accurate and reliable answer to a raised query.

Specific requirements of this European Standard do not apply to expertise services where obligatory contractual and / or a legal framework and regulations exist; for instance in consulting, inspection and judicial litigation.

2 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

2.1

assignment

project or work that involves the Expertise Service Providers (ESP)

2.2

competence

ability to apply knowledge and skills to achieve intended results

[SOURCE: EN ISO/IEC 17024:2012, 3.6]

2.3

conflict of interest

situation in which, because of other activities or relationships, impartiality in performing expertise services is or could be compromised

[SOURCE: EN ISO 14065:2013, 3.4.5, modified — “validation or verification activities” here replaced with “expertise services”]

2.4

deliverables

outcome, result or item to be produced to complete an expertise service

Note 1 to entry: Typical deliverables are e.g. giving opinions (also first opinions), answering questions or presenting results after evaluations in oral or written expert reports.

2.5

documentation

information and its supporting medium

2.6

expert

person who, through professional qualification(s) with special skills, technical knowledge and practical experience in one or more field(s) of expertise, has competence to give an opinion in the fields about which he/she is consulted

2.7
expertise service provider
ESP

expert or several experts providing their clients with specialized services on the basis of appropriate knowledge and qualification

2.8
expertise activities

aggregation of all kinds of work (e.g. preparation, assessment, procedure, deliverables, etc.) performed by the ESP for conducting an expertise service

2.9
record

documents stating results achieved or providing evidence of activities performed

3 Code of Ethics

3.1 General

This clause is intended to serve as key principles to the everyday conduct of Expertise Service Providers. The ethical behaviour is fundamental to build the desired level of confidence in any neutrality provided expertise service.

It commits the ESP to do nothing in the course of practicing as an ESP which compromises or impairs or is likely to compromise or impair the ESP's

- independence,
- impartiality,
- objectivity
- and integrity.

3.2 The Code

The ESP shall observe for example the following:

- The ESP should not accept assignments in any matter where there is an actual or potential conflict of interest without full disclosure to the parties and agreement of the client(s), where appropriate.
- Should an actual or potential conflict occur after assignments have been accepted, the ESP shall immediately notify the client(s) and, in appropriate cases, ask for resigning its appointment.
- The ESP shall maintain confidentiality.
- The ESP shall adopt a proper and up-to-date standard of work.
- The ESP shall not publicize its practices in any manner which may reasonably be inaccurate or misleading.

4 Knowledge / Qualification

4.1 General

The ESP shall be qualified in its field of expertise. Personnel performing work shall be competent on the basis of education, training, skills and experience. Personnel performing work affecting the quality of the expertise services shall comply with the competence criteria.

The ESP shall maintain records about its qualification.

4.2 Competence and qualification

The ESP shall have - depending on the offered service - the necessary competence.

Competence in Expertise Services can be demonstrated e.g. by professional experience, training, certification and recognitions of the ESP, scientific and technical papers published in the field of expertise, etc.

The ESP should have the relevant communication skills for example, language, technology, presentation and documentation of results.

4.3 Training and development

ESP shall maintain its knowledge up to date and undertake appropriate continuing professional development and training.

5 Expertise process

5.1 General

The process of ESP services can include the following steps described in Subclauses 5.2 to 5.6.

5.2 Initial assessment of the customer request

Depending on the type of expertise service, and before the acceptance of the task, the ESP shall check:

- the type and kind of task;
- that the task is clearly defined and understood;
- that the task is included in its competence and in the field of expertise;
- the specific knowledge needed;
- the infrastructures, instruments and materials needed;
- the possibility to fulfil the schedule indicated by the client,
- the specific applicable regulations;
- the need to obtain specific resources or external professional support;
- the information needed.
- the possibility to access the information needed;

- the compliance to all the principles of the code of ethics of this standard;
- any other specific circumstances or requirements under which the expertise activities shall be developed.

5.3 Risk identification

Depending on the type of service required, a risk identification should be carried out by the ESP prior to the acceptance of the assignment. This analysis can include conflict of interest, legal risks, liability as well as accountability. Risks may appear in the field of the expertise service itself with regard to timing, complexity, limitations...

The ESP shall consider the necessity of having an insurance for its services and to which extent.

5.4 Agreement

The expertise service shall be bound by an agreement or appointment between the ESP and customer and can include:

- process description;
- deliverables;
- timing and costs;
- confidentiality;
- terms and conditions;
- professional standards;
- sub-contractor requirements;
- limitations of any type which can affect the expertise process.

NOTE Any other requirement can be added in the agreement, depending on the client's request.

The client shall be informed of relevant difficulties encountered in fulfilling the tasks.

5.5 Expertise service

5.5.1 General

Depending on the expert service required and agreed the ESP shall collect, analyse and evaluate the necessary data. The ESP assignment can make it necessary to communicate with the client and agree on methodologies and milestones.

5.5.2 Expert Service procedures

The procedures of the ESP shall be in accordance with, among others:

- applicable regulatory and legal requirements;
- where applicable, information and feedback derived from previous experiences or similarly conducted expertise services;
- other requirements essential for the expertise service.

5.5.3 Conducting the expertise Service

When conducting the Expertise Service, the ESP shall:

- use methods, procedures and processes which allow to develop the final Expertise Service;
- ensure that the different aspects of the task have been properly considered and completed according to the agreement or appointment.

Monitoring shall be carried out by the ESP in particular to highlight the need for corrective actions or stop temporarily or definitively the expertise service if necessary.

5.5.4 Deliverable

The expertise service deliverable shall at least include the following:

- general information relating to the expertise service (where applicable title, date of issue, identification of the client and of the ESP...);
- the questions to answer, if applicable;
- the conclusion.

Where required for comprehension and traceability of the results, the expertise service deliverable shall include the following:

- the explanation of any element necessary to verify the relevance of the expertise service and of its conclusions, particularly in the case of conflicting positions;
- summary of the task and depth of the expertise service, of the latter's execution conditions (data sources and investigations performed), of the resources used, of the inspections and verifications carried out and of the limits of validity (transparency of the approach).

The expertise service deliverable shall be delivered in physical, electronic or oral ways.

The ESP shall ensure compliance with the confidentiality rules linked to the expertise service, particularly when delivered electronically.

5.6 Documentation

For traceability reasons the processes of the ESP service shall be documented and archived properly.

The documentation can be in any form and on any type of medium. Provisions for confidentiality, integrity, availability, accountability, authenticity and reliability of the documented data should be considered.

Bibliography

- [1] EN ISO 14065:2013, *Greenhouse gases - Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition (ISO 14065:2013)*
- [2] EN ISO/IEC 17024:2012, *Conformity assessment - General requirements for bodies operating certification of persons (ISO/IEC 17024:2012)*

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